

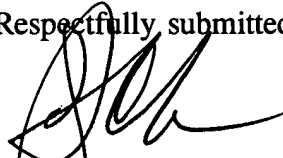
- (d) A copy of Sequence Listing (paper copy and computer readable form) filed on 09/29/97;
- (e) Our check in the amount of 65.00 as the surcharge fee; and
- (f) A copy of Notice to File Missing Parts of Application-Filing Date Granted.

Applicants inadvertently did not return form PTO-1533 when responding to the PTO's Notice to File Missing Parts. This paper now is submitted with evidence that all of the requirement regarding the Notice to File Missing Parts of Application have been met.

If any additional fees under 37 C.F.R. §§ 1.16 to 1.21 be required for any reason relating to the enclosed materials, or should an overpayment be included herein, the Commissioner is authorized to deduct or credit said fees from or to Arnold, White & Durkee Deposit Account No. 01-2508/UTXC:538/HYL.

Please date stamp and return the accompanying postcard to evidence receipt of these documents.

Respectfully submitted,



Steven L. Highlander
Reg. No. 37,642

Attorney for Applicants

ARNOLD, WHITE & DURKEE
P.O. Box 4433
Houston, Texas 77210
(512) 418-3000

Date:

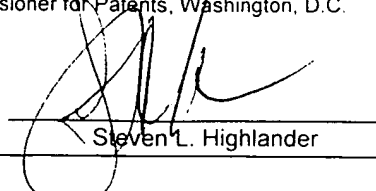
10/31/97



CERTIFICATE OF MAILING
37 C.F.R. 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below:

September 29, 1997
Date


Steven L. Highlander

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

JAGANNADHA K. SASTRY
RALPH B. ARLINGHAUS
CHRIS D. PLATSOUKAS
and
PRAMOD N. NEHETE

Group Art Unit: 1813

Examiner: Unknown

Atty. Dkt. No.: UTXC:538

Serial No.: 08/869,386

Filed: June 5, 1997

For: COMPOSITIONS AND METHODS FOR
ELICITING IMMUNE OR ANTI-
INFECTIVE RESPONSES

REQUEST FOR CORRECTED FILING RECEIPT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

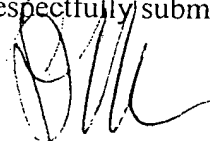
A corrected filing receipt is hereby requested in view of the errors which appear in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the errors have been noted in red.

On the "CONTINUING DATA AS CLAIMED BY APPLICANT", please delete the line that reads "07/800,832 11/29/91" and insert therefore -- 07/800,932 12/02/91--.

The errors are due to Applicants' error and a check for \$25.00 for the fee under 37 C.F.R. § 1.19(h) is enclosed. Should the check be insufficient or omitted, or should any other fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to this document, the Assistant Commissioner is hereby authorized to deduct said fee from Arnold, White & Durkee Deposit Account No. 01-2508/UTXC:538/HYL.

Please date stamp and return the enclosed postcard evidencing receipt of these materials.

Respectfully submitted,

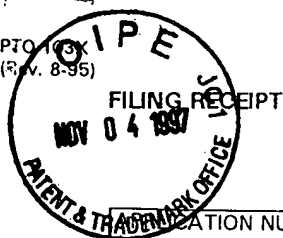


Steven L. Highlander
Reg. No. 37,642
Attorney for Applicant

ARNOLD, WHITE & DURKEE
P.O. Box 4433
Houston, Texas 77210-4433
(512) 418-3000

Date: September 29, 1997

PTO 133
(Rev. 8-95)



HYL
UTXC
538



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE REC'D | ATTORNEY DOCKET NO. | DRWGS | TOT CL | IND CL |
|--------------------|-------------|--------------|---------------|---------------------|-------|--------|--------|
| 08/869,386 | 06/05/97 | 1813 | \$385.00 | UTXC:538/HYL | 0 | 20 | 2 |

ARNOLD WHITE & DURKEE
P O BOX 4433
HOUSTON TX 77210-4433

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

JAGANNADHA K. SASTRY, HOUSTON, TX; RALPH B. ARLINGHAUS,
BELLAIRE, TX; CHRIS D. PLASTSOUCAS, HOUSTON, TX;
PRAMOD N. NEHETE, HOUSTON, TX.

PLASTSOUCAS

CONTINUING DATA AS CLAIMED BY APPLICANT-

THIS APPLN IS A DIV OF 07/945,865 09/16/92
WHICH IS A CIP OF 07/800,832 11/29/91
WHICH IS A CIP OF 07/410,727 09/20/89
WHICH IS A CIP OF 07/090,646 08/28/87

ABN- SEE ABOVE
PAT 5,128,319
ABN

FOREIGN FILING LICENSE GRANTED 08/27/97

* SMALL ENTITY *

TITLE

COMPOSITIONS AND METHODS FOR ELICITING IMMUNE OR ANTI-INFECTIVE
RESPONSES

PRELIMINARY CLASS: 424

A.W.D.

1997

DESK

USE THIS



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NO./TITLE |
|--------------------|---------------------|-----------------------|---------------------------|
| 08/869,386 | 06/05/97 | SASTRY | J UTXC: 538/HYL |

ARNOLD WHITE & DURKEE
P O BOX 4433
HOUSTON TX 77210-4433

0232/0902

NOT ASSIGNED

DATE MAILED:

1813

09/02/97

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted **ALONG WITH THE PAYMENT OF A SURCHARGE** for items 1 and 3-6 only of \$ 65.00 for a ☒ large entity ☐ small entity in compliance with 37 CFR 1.27. The surcharge is set forth in 37 CFR 1.16(e). Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ large entity ☐ small entity (verified statement filed), is \$ 0.

☐ 1. The statutory basic filing fee is:

- ☐ missing.
- ☐ insufficient.

Applicant must submit \$ _____ to complete the basic filing fee and/or file a verified small-entity statement claiming such status (37 CFR 1.27).

☐ 2. Additional claim fees of \$ _____, including any multiple dependent claim fees, are required.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. The oath or declaration:

- ☐ is missing.
- ☐ does not cover the newly submitted items.
- ☐ does not identify the application to which it applies.
- ☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are:

- ☐ missing.
- ☐ by a person other than inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$ _____ processing fee is required since your check was returned without payment (37 CFR 1.821(a)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☒ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the response and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice **MUST** be returned with the response.

Customer Service Center

Initial Patent Examination Division (700) 200-4000

date: 12/18/1997 JTIIPPETT
JTIIPPETT 00000055 08869386
-65.00
JTIIPPETT 00000055 08869386
-65.00



Application No.: _____

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☐ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☒ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other: _____

Applicant Must Provide:

- ☐ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☐ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

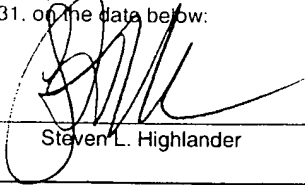
For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

For PatentIn software help, call (703) 308-6856

PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR RESPONSE

| | |
|---|--|
| CERTIFICATE OF MAILING 37 C.F.R. 1.8 | |
| I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below: | |
| September 29, 1997 Date |  Steven L. Highlander |

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

JAGANNADHA K. SASTRY, RALPH B.
ARLINGHAUS, CHRIS D. PLATSOUKAS,
AND PRAMOD N. NEHETE

Group Art Unit: 1813

Examiner: Unknown

Serial No.: 08/869,386

Atty. Dkt. No.: UTXC:538/HYL

Filed: June 5, 1997

For: METHODS AND COMPOSITIONS FOR
ELICITING AN IMMUNE RESPONSE

STATEMENT AS REQUIRED UNDER 37 C.F.R. § 1.821(f)

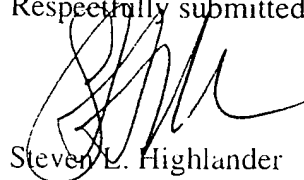
BOX SEQUENCE

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Submitted herewith is a computer readable form and a paper copy of the sequence listing of those sequences in the captioned patent application. The computer readable form of the sequence listing is the same as the paper copy of the sequence listing. The sequence information provided in the Specification is also the same as the sequence listing of the enclosed computer readable and paper forms of the sequence listing.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'SH', is written over the typed name of Steven L. Highlander.

Steven L. Highlander
Reg. No. 37,642
Attorney for Applicants

ARNOLD, WHITE & DURKEE
P.O. Box 4433
Houston, Texas 77210-4433
(512) 418-3000

Date: September 29, 1997